



# Electronic Information Disclosure Statement

## Composition And Method For A Dual-Function Soil-Grouting Excavating Or Boring Fluid

Application:   
09/880409

Confirmation: 8567

Applicant(s): K. Gifford Goodhue

Docket  
Number: 11084.0015CN

Group Art

Unit:

Examiner:

search string: ( 1815876 or 1827238 or 2025948 or 2053562 or 2081541 or 2146693 or 2165823 or 2165824 or 2239647 or 2265609 or 2437387 or 3040820 or 4076628 or Re29716 or 4282928 or 4500436 or 4857242 or 1137759 or 2561561 or 3259263 or 2718516 or 2798053 or 2812161 or 3652497 or 3657175 or 3726342 or 3794608 or 3826771 or 3878151 or 3894980 or 3915921 or 4075411 or 4138381 or 4167502 or 4268641 or 4293427 or 4338239 or 4374738 or 4374739 or 4375533 or 4384096 or 4421902 or 4473190 or 4506062 or 4509949 or 4514552 or 4526937 or 4554018 or 4554298 or 4554307 ).pn.

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■ That each item of information contained in the information disclosure statement was cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. RECEIVED

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### US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
PT	P01	1815876	1931-07-21		Michael Muller		

P1	P02	1827238	1931-10-13		Hugo Joosten		
	P03	2025948	1935-12-31		L. R. Jorgensen	61	36
	P04	2053562	1936-09-08		Lars R. Jorgensen		
	P05	2081541	1937-05-25		Hugo Joosten	61	36
	P06	2146693	1939-02-07		William V. Vietti et al.	255	1
	P07	2165823	1939-07-11		William V. Vietti et al.	255	1
	P08	2165824	1939-07-11		William V. Vietti et al.	255	1
	P09	2239647	1941-04-22		A. D. Garrison	255	1
	P10	2265609	1940-06-25		James G. Vail, et al.	255	1
	P11	2437387	1948-03-09		Ronald M. Hodgson	61	36
	P12	3040820	1962-06-26		Julius P. Gallus	175	66
	P13	4076628	1978-02-28		Richard L. Clampitt	252	8.5 C
	P14	Re29716	1978-08-01		Richard L. Clampitt et al.	175	65
	P15	4282928	1981-08-11		Charles J. McDonald, et al.	166	274
	P16	4500436	1985-02-19		Avtar S. Pabley	252	8.5 A
	P17	4857242	1989-08-15		Thomas Hoffman	264	1.4
	P18	1137759	1915-05-04		C. M. Johnson		
	P19	2561561	1951-07-24		J. F. Cella	220	97
	P20	3259263	1966-07-05		Tohchung Wei	220	4
	P21	2718516	1955-09-20		Newman M. Bortnick	260	86.1
	P22	2798053	1957-07-02		Harold P. Brown	260	2.2
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	P25	3657175	1972-04-18		Carl A. Zimmerman	260	29.6 T
P26	P26	3726342	1973-04-10		John S. Rhudy et	166	275

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P27	3794608	1974-02-26		Evani Syamalarao, et al.	260	29.6 RW
P28	3826771	1974-07-30		Donald R. Anderson et al.	260	29.6 H
P29	3878151	1975-04-15		Karl Dachs, et al.	260	29.6 T
P30	3894980	1975-07-15		Gabriel L. DeTommaso	260	29.6 RW
P31	3915921	1975-10-28		Robert K. Schlatzer, Jr.	260	17.4 SG
P32	4075411	1978-02-21		Jack Dickstein	560	224
P33	4138381	1979-02-06		David C. Chang, et al.	260	29.6 TZ
P34	4167502	1979-09-11		Sheldon N. Lewis, et al.	260	29.6 H
P35	4268641	1981-05-19		Harvey S. Koenig, et al.	525	367
P36	4293427	1981-10-06		James M. Lucas et al.	252	8.5 C
P37	4338239	1982-07-06		Laurence G. Dammann	524	549
P38	4374738	1983-02-22		Jack R. Kelley	252	8.5 C
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P40	4375533	1983-03-01		Hung S. Park	526	193
P41	4384096	1983-05-17		Lawrence F. Sonnabend	526	313
P42	4421902	1983-12-20		Ching-Jen Chang, et al.	526	66
P43	4473190	1984-09-25		John P. Gagliardo	239	456
P44	4506062	1985-03-19		Peter Flesher, et al.	526	211
P45	4509949	1985-04-09		Chor Huang, et al.	586	558
P46	4514552	1985-04-30		Gregory D. Shay, et al.	526	301
P47	4526937	1985-07-02		Chin C. Hsu	524	724
P48	4554018	1985-11-19		Adrian S. Allen	106	20

P1	P49	4554298	1985-11-19		David Farrar, et al.	523	336
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## Signature

Examiner Name	Date
P. TUCKER	9/03



## ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18  
Stylesheet Version v18.0

Title of Invention	Composition and Method for a Dual-Function Soil-Grouting Excavating or Boring Fluid						
Application Number:	09/880409						
Confirmation Number:	8567						
First Named Applicant:	Kenneth GOODHUE						
Attorney Docket Number:	GOOD015CP2						
Art Unit:	1712						
Search string:	( 6248697 or 5072791 or 2131338 or 4009755 or 6465587 or 6590050 or 5663123 or 5407909 or 4988450 or 4984933 or 4696698 or 4687790 or 4596838 or 4470463 or 4600761 or 4616074 or 4656205 or 4660645 or 4669920 or 4670501 or 4677152 or 4683949 or 4702844 or 4722397 or 4724906 or 4741790 or 4743698 or 4744418 or 4745154 or 4777200 or 4816551 or 4835206 or 4844168 or 4892916 or 4898611 or 4911736 or 4946605 or 4980434 or 4981398 or 5006596 or 5032295 or 5077021 or 4476190 ).pn.						
<b>US Patent Documents</b>							
Note: Applicant is not required to submit a paper copy of cited US Patent Documents							
init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
P	1	6248697	2001-06-19	Goodhue Jr. et al.			
	2	5072791	1991-12-17	Whitebay			
	3	2131338	1938-09-27	Vail			
	4	4009755	1977-03-01	Sandiford			
	5	6465587	2002-10-15	Bair et al.			
	6	6590050	2003-01-08	Bair et al.			
	7	5663123	1997-10-02	Goodhue Jr. et al.			
	8	5407909	1995-04-02	Goodhue Jr. et al.			
	9	4988450	1991-01-29	Wingrave et al.			
	10	4984933	1991-01-15	Annett et al.			
P	11	4696698	1987-10-29	Harriett			



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	13	4596838	1986-06-24	Andrechuk
	14	4470463	1984-09-11	Holland
	15	4600761	1986-07-15	Ruffner et al.
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	18	4660645	1987-04-28	Newlove et al.
	19	4669920	1987-06-02	Dymond
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	21	4677152	1987-06-30	Allen et al.
	22	4683949	1987-08-04	Sydansk et al.
	23	4702844	1987-10-27	Flesher et al.
	24	4722397	1988-02-02	Sydansk et al.
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	26	4741790	1988-05-03	Hawe et al.
	27	4743698	1988-05-10	Reffner et al.
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	30	4777200	1988-10-11	Dymond et al.
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	36	4911736	1990-03-27	Huang
	37	4946605	1990-08-07	Farrar et al.
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Form PTO-1449 (modified)		Atty. Docket No. GOOD:015--	Serial No. 09/880409
List of Patents and Publications for Applicant's INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)		Applicant K. Gifford Goodhue Jr., et al.	
U.S. Patent Documents N/A		Filing Date: June 13, 2001	Group:
Foreign Patent Documents Page 1		Other Art N/A	

### U.S. Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Name	Class	Sub Class	Filing Date if App.
	A1						

### Foreign Patent Documents

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PT	B1	1 191 292	07/30/85	CA			
	B2	2 088 344	10/11/93	CA			
	B3	1 332 502	10/18/94	CA			
	B4	160 427 A2	06/11/85	EP			
	B5	165 004 A2	12/18/85	EP			
	B6	194 857 A2	09/17/86	EP			
	B7	200 062 A3	11/05/86	EP			
	B8	273 210 A2	07/06/88	EP			
	B9	634 468 A1	01/18/95	EP			
	B10	2 647 463	11/30/90	FR			
	B11	1 517 422	07/12/76	GB			
	B12	2 221 904	02/21/90	GB			
	B13	2 221 940	02/21/90	GB			
PT	B14	2 277 759	11/09/94	GB			

### Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

Exam. Init.	Ref. Des.	Citation
	C1	

EXAMINER: P. TUCKER DATE CONSIDERED: 9/03

EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.



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		Filing Date: June 13, 2001	Group:
U.S. Patent Documents N/A	Foreign Patent Documents N/A	Other Art See Page 1 - 6	

### U.S. Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Name	Class	Sub Class	Filing Date if App.
	A1						

### Foreign Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Country	Class	Sub Class	Translation Yes/No
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### Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

Exam. Init.	Ref. Des.	Citation
PT	C1	Bol, G.M., <u>The Effect of Various Polymers &amp; Salts on Borehole &amp; Cutting Stability in Water-Based Shale Drilling Fluids</u> . Koninklijke/Shell E&P Laboratorium, IADC/SPE Conference 1986; IADC/SPE 14802.
	C2	Bruce, D.A. et al., <u>Structural Underpinning by Pinnacles</u> .
	C3	Carnicom, W.M., <u>A Systems Approach for the Solution of Mud Problems</u> , NL Baroid/NL Industries, Inc., 1982.
	C4	Cernak, B., <u>The Time Effect Suspension of the Behavior of Piers</u> , Institute of Civil Engineering, Bratislava, CSSR.
	C5	Chessier, B.G., <u>Design Considerations for an Inhibitive &amp; Stable Water-Based Mud System</u> , Milpark, Houston, Texas, IADC/SPE Conference 1986, IADC/SPE 14757.
	C6	Cooke, R.W., <u>Load Transfer from Bored, Cast-In-Situ Piles in London Clay</u> , 1979.
	C7	Crapps, D., <u>Design Construction, and Inspection of Drilled Shafts in Limerock and Limestone</u> , Prepared for 35th Annual Geotechnical Conference, University of Kansas, March 7, 1986.
	C8	Day, P.W. et al., <u>Skin Friction of Underslurry Piles</u> .
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*P. Tucker*

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INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)		Filing Date: <b>June 13, 2001</b>	Group:
U.S. Patent Documents <b>N/A</b>	Foreign Patent Documents <b>N/A</b>	Other Art <b>See Page 1 - 6</b>	

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	C11	Felio, G.Y. et al., <u>A New Rod Shear Device for the Measurement of the Degradation of Soil-Pile Interfaces</u> , University of California at Los Angeles, Presented at 21st Annual OTC in Houston, Texas, May 14, 1989.
	C12	Fisk, J. & Perez, J., <u>Filtration Studies to Determine Filter Cake Compressibilities for Sun Oil's EZ-Mud Fluid</u> , NL Baroid/NL Petroleum Services, Inc., Fluids Research & Development Technical and Analytical Services/Support; EMB-4305; January 29, 1988.
	C13	Fisk, J.V. et al., <u>Physical Properties of Drilling Fluids at High Temperatures and Pressures</u> , Baroid Drilling Fluids, SPE Drilling Engineering, Dec. 1989.
	C14	Fleming, C.N., <u>Moderate pH, Potassium, Polymer-Treated Mud Reduces Washout</u> , Chevron USA, Inc., IADC/SPE Conference 1986; IADC/SPE 14758.
	C15	Gale, R.S., <u>Filtration Theory with Special References to Sewage Sludges</u> , 1967.
	C16	Garrison, A.D. et al., <u>Dispersion of Clay and Shales by Fluid Motion</u> , Galveston Meeting, 1939.
	C17	Gray, G.R., <u>Drilling with Mud; Simple Tests Save Time and Money</u> , Baroid Division, NL Industries, Inc.
	C18	Gray, G.R., <u>Plan the Mud Program to Reduce Exploration Cost</u> , Mining Industry, Baroid Division, National Lead Co., Houston, Texas.
	C19	Gray, G.R., <u>Right Drilling Fluid Key to Efficient Operation</u> , Mining Industry, Baroid Division, NL Industries, Inc.
	C20	Guild, G.J., <u>Operating PHPA/NaCl Systems</u> , Amoco Production Company, January 1990.
	C21	Hager, R., <u>Cast-In-Drilled-Hole-Piles in Adverse Soil Conditions</u> , State of California, Business and Transportation Agency, Department of Public Works, and Division of Highways Bridge Department.
	C22	Hagimoto, H. et al., <u>D.K. Shield Method</u> , Daho Construction Co. Ltd., Tokyo, Japan, 1990.
<i>PT</i>	C23	Holcombe, R.F. et al., <u>Subsidence of the Houston/Galveston Area</u> , McClelland Engineers, Spring, 1980.

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*P. TUCKER*

DATE CONSIDERED:

*9/03*

EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

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		Filing Date: June 13, 2001	Group:
U.S. Patent Documents N/A	Foreign Patent Documents N/A	Other Art See Page 1 - 6	



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P	C24	Holden, J.C., <u>The Construction of Bored Piles in Weathered Sedimentary Rock</u> , Road Construction Authority of Virginia, May 1984.
	C25	Hooks, J. M. et al., <u>The Design &amp; Construction of Diaphragm Walls in Western Europe 1979</u> , Supplement to 1980 World Survey of Current Research & Development on Roads & Road Transport, Dec. 1990.
	C26	Inoue, T. et al., <u>An Investigation of Shear Strength of Slurry Clay</u> , Japanese Society of Soil Mechanics and Foundation Engineering, Dec. 1990.
	C27	Janes, M. et al., <u>Pile Load Test Results Using the New Statnamic Method</u> , Berminghammer Corporation, McMaster University.
	C28	Janes, M., <u>Statnamic Load Test Results</u> , Comparative Pile Foundation Load Test Program, Texas A&M University, 1991.
	C29	Johnston, I.W., <u>New Developments in the Prediction of Side Resistance of Piles in Soft Rock</u> , Monash University, Melbourne.
	C30	Johnson, I.W. et al., <u>Side Resistance of Piles in Weak Rock</u> , Monash University, Melbourne, Victoria, Australia, 1992.
	C31	Kadaster, A.G. et al., <u>Field Application of PHPA Muds</u> , Amoco Production Co., Amoco Norway, Society of Petroleum Engineers Conference 1989, SPE 119531.
	C32	Kheng, H.Y., <u>Rheological and Physico-Chemical Properties of Palygorskite Clay and Anionic Polymer Slurries Used in Drilling Shaft Construction</u> , A Dissertation Presented to the Univ. Of Florida, 1989.
	C33	Kulhawy, F.H., <u>Drilled Shaft Foundations</u> , Cornell Univ., Ithaca, New York, 1989.
	C34	Lambe, T.W., <u>The Structure of Compacted Clay</u> , Soil Mechanics and Foundations Division, May 1958.
	C35	Leyendecker, E.A., <u>Drilling Fluids as Used with Drilled Shaft Construction</u> , Dresser Industries, Presented at the State Department of Highways and Public Transportation, Austin, Texas, 1984.
P1	C36	Liao, A., <u>Evaluation of Polymer-Bentonite Soil Admixtures as Hydraulic Barriers for Oilfield Waste Pits and Non-Oilfield Applications</u> , NL Baroid/NL Industries, Inc., 1988.

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Other Art (Including Author, Title, Date Pertinent Pages, Etc.)			
Exam. Init.	Ref. Des.	Citation	
PT	C37	Liao, W.A. et al., <u>Adsorption Characteristics of PHPA on Formation Solids</u> , Baroid Drilling Fluids, Inc., 1990 IADS/SPE Drilling Conference, Houston, Texas, February 27-March 2, 1990.	
	C38	O'Neill, M. et al., <u>Effects of Mineral and Polymer Slurries on Side Load Transfer in Drilled Shafts</u> , University of Houston, January 1992.	
	C39	O'Neill, M. et al., <u>Effects of Stratigraphic and Construction Details on the Load Transfer Behavior of Drilled Shafts</u> , Transportation Research Board, 71st Annual Meeting, January 12-16, 1992, Washington, D.C.	
	C40	O'Neill, M.W., <u>Effects of Mineral and Polymer Slurries on Drilled Shafts</u> , Paper Presented to the Deep Foundation Institute, Chicago, IL, October 8, 1991.	
	C41	O'Neill, M.W., <u>Side Load Transfer in Driven and Drilled Piles</u> , March 1984.	
	C42	Pells, P.J.N. et al., <u>Bentonite Piles in Durban</u> , Soil Mechanics and Foundation Engineering, Proceedings of the Sixth Regional Conference for Africa, Dubai, 1975.	
	C43	Plank, J.P., <u>Visualization of Fluid-Loss Polymers in Drilling Mud Filter Cakes</u> , SKW Trostberg AG & F.A. Gossen, SKW Chemicals, Inc., Society of Petroleum Engineers Conference 1989; SPE 19534.	
	C44	Reese, L.C. et al., <u>Bentonitic Slurry in Constructing Drilled Piers</u> , University of Texas.	
	C45	Reese, L.C., <u>Drilled Piers in Rock</u> , 1989.	
	C46	Rowe, P.W. et al., <u>Energy Components During the Triaxial Cell and Direct Shear Tests</u> .	
	C47	Sliwinski, Z.J. et al., <u>Conditions for Effective end Bearing of Bored Cast-In-Situ Piles</u> , ICE, London, 1979.	
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	C50	Tan, T.S. et al., <u>Behavior of Clay Slurry</u> , Japanese Society of Soil Mechanics and Foundation Engineering, December 1990.	
PT	C51	Tan, T.S. et al., <u>Sedimentation of Clayey Slurry</u> .	

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*P. TUCKER*DATE CONSIDERED: *9/03*

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U.S. Patent Documents N/A	Foreign Patent Documents N/A	Other Art See Page 1 - 6	

### Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

Exam. Init.	Ref. Des.	Citation
P1	C52	Timmerhaus, P. et al., <u>Plant Design and Economics for Chemical Engineers</u> , University of Colorado.
	C53	Tucker K. et al., <u>The Effect of Bentonitic Slurry on Drilled Shafts</u> , Research Report 351-IF, Project 3-5-83-351, Center for Transportation Research, University of Texas at Austin, July 1984.
	C54	Turner, J. et al., <u>Drained Uplift Capacity of Drilled Shafts Under Repeated Axial Loading</u> .
	C55	Williams, Jr., M., <u>Radial Filtration of Drilling Muds</u> , Galveston Meeting, October 1939.
	C56	Wong, R.C.K. et al., <u>Design and Performance Evaluation of Vertical Shafts: Rational Shaft Design Method and Verification of Design Method</u> , University of Alberta, Canada, January 20, 1988.+
	C57	<u>Basic Guidelines for Running NL Baroid's EZ-Mud Polymer System</u> , NL Baroid/NL Industries, Inc.
	C58	<u>Bentonite-Extended Muds (Ben-Ex)</u> , N.L. Baroid/NL Industries, Inc.
	C59	<u>Cassion Load Test Results, Residual Treatment Facilities, Phase I, Deer Land, MA</u> , GZA GeoEnvironmental, Inc., New Upperton Falls, MA; June 1992; File No. 12553.2.
	C60	<u>Clay Chemistry</u> , NL Baroid/NL Industries, Inc., June 19, 1989.
	C61	<u>Drilling Fluids Products Cross Reference Chart</u> , NL Baroid/NL Industries, Inc.
	C62	<u>Drilling Specialties Company Product Literature</u> , Drilling Specialties Co., 1981.
	C63	<u>Excerpt from Specification for Foundations Contract, Stage II, West Gate Freeway</u> , Federation of Piling Specialists.
	C64	<u>Field Filter Cake Experiments</u> .
	C65	<u>Filtration Equations</u> .
	C66	<u>Formulation and Properties of "Standard" Muds for CST Fluids Optimization Tests</u> , NL Baroid/NL Industries, Inc.; January 9, 1990.
P1	C67	<u>Grouts and Drilling Muds in Engineering Practice</u> , British National Society of the International Society of Soil Mechanics and Foundation Engineering at the Institution of Civil Engineers held in May 1963.

EXAMINER:

P. TUCKER

DATE CONSIDERED: 9/03

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Form PTO-1449 (modified)		Atty. Docket No. GOOD:015—	Serial No. 09/880409
<b>List of Patents and Publications for Applicant's</b>		Applicant K. Gifford Goodhue Jr., et al.	
<b>INFORMATION DISCLOSURE STATEMENT</b> (Use several sheets if necessary)			
U.S. Patent Documents N/A		Foreign Patent Documents N/A	Other Art See Page 1 - 6

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### Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

Exam. Init.	Ref. Des.	Citation
PT	C68	<u>Hyperfloc Polyacrylamides, Technical Information Bulletin</u> , Hychem Inc. 1989.
	C69	<u>Influence of the Boring Methods on the Behavior of Cast-In-Place Bored Piles</u> .
	C70	<u>Komatsu Product Literature</u> , Tokyo, Japan.
	C71	<u>Load Test Data BP London</u> .
	C72	<u>Manual of Drilling Fluids Technologies: Calculations, Charts, and Tables for Mud Engineering</u> , NL Baroid/NL Industries, Inc., 1985.
	C73	<u>Manual of Drilling Fluids Technology: Fundamental Characteristics of Drilling Fluids</u> , NL Baroid/NL Industries, Inc., 1985.
	C74	<u>Manual of Drilling Fluids Technology: Sources of Mud Problems</u> , NL Baroid/NL Industries, Inc., 1985.
	C75	<u>Polymer Soil Conditioners</u> , SNF Floerger, 1990.
	C76	<u>Report of Geotechnical Engineering Evaluation Load Test Program for Drilled Shaft Foundations</u> , Ellis and Associates, January 7, 1985.
PT	C77	<u>Standard Specification for the Construction of Drilled Piers</u> , ACI Committee 336, American Concrete Institute, Detroit, Michigan.
	C78	

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